

**Date:** Wednesday 16 April 2014  
**Time:** 2.00pm  
**Meeting Room:** Council Chamber  
**Venue:** Auckland Town Hall  
301-305 Queen Street  
Auckland

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## **Chief Executive Officer Review Committee OPEN MINUTE ITEM ATTACHMENTS**

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Penny Bright <waterpressure@gmail.com>

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**OIA to Auckland Council CEO Stephen Town - lawful compliance with the Public Records Act 2005**

1 message

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**Penny Bright** <waterpressure@gmail.com>  
To: Penny Bright <waterpressure@gmail.com>

Wed, Apr 16, 2014 at 12:59 PM

16 April 2014

OIA to Auckland Council CEO Stephen Town - lawful compliance with the Public Records Act 2005

Please provide the information which proves that Auckland Council has completed the following 'Checklist of Minimum Requirements', which is 'Appendix 6' of the 'Create and Maintain Recordkeeping Standard JUNE 2008 ISSUED UNDER THE PUBLIC RECORDS ACT 2005, SECTION 27'.

Please be reminded that THIS STANDARD IS MANDATORY FOR ALL PUBLIC OFFICES (EXCLUDING SCHOOLS), AND LOCAL AUTHORITIES'.

"6. Appendix: Checklist of Minimum Requirements

This checklist is a tool for managing risks to the creation and maintenance of records. It can be used to assess compliance with the standard.

Where a requirement is not met, an organisation must assess the risks involved and plan to address them."

(Full checklist attached)



Penny Bright  
'Anti-corruption /anti-privatisation Public Watchdog'

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## ✕ 6. Appendix: Checklist of Minimum Requirements

This checklist is a tool for managing risks to the creation and maintenance of records. It can be used to assess compliance with the standard. Where a requirement is not met, an organisation must assess the risks involved and plan to address them.

PRINCIPLE/ REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
<p>Principle 1: Recordkeeping Must be Planned and Implemented</p> <p>Recordkeeping policies and procedures (compliant with legal, regulatory and administrative requirements) must be implemented and must clearly assign recordkeeping responsibilities and appropriate resources and training.</p>	<input type="checkbox"/>	<input type="checkbox"/>		
1. Responsibility for recordkeeping compliance must be assigned and endorsed by the administrative head.	<input type="checkbox"/>	<input type="checkbox"/>		
2. Organisations must have a defined, documented and implemented policy for recordkeeping, which is regularly reviewed.	<input type="checkbox"/>	<input type="checkbox"/>		
3. Organisations must have defined, documented and implemented procedures for recordkeeping which are regularly reviewed.	<input type="checkbox"/>	<input type="checkbox"/>		
4. Recordkeeping responsibilities and resources must be defined, supported and assigned.	<input type="checkbox"/>	<input type="checkbox"/>		

PRINCIPLE/ REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
5. A programme of internal recordkeeping monitoring and compliance must be developed and implemented.	<input type="checkbox"/>	<input type="checkbox"/>		
<p><b>Principle 2: Full and Accurate Records of Business Activity Must be Made</b></p> <p><i>Full and accurate records must be made of all business activity for the whole organisation; records should be identified and created to document and facilitate the transaction of business.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>		
6. The functions and business activities of an organisation must be identified and documented, including any functions contracted out.	<input type="checkbox"/>	<input type="checkbox"/>		
7. Records of business decisions and transactions must be created.	<input type="checkbox"/>	<input type="checkbox"/>		
8. All records of business activity must be captured routinely into an organisation-wide recordkeeping framework.	<input type="checkbox"/>	<input type="checkbox"/>		
9. Staff must receive appropriate, and regular, training for organisational recordkeeping responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>		

PRINCIPLE/ REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
<p><b>Principle 3: Records Must Provide Authoritative and Reliable Evidence of Business</b></p> <p><i>Activity Organisations must be able to demonstrate that records captured are authentic, reliable, complete, comprehensive, useable, tamperproof and have integrity.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>		
10. Records must be authentic: organisations must accurately document their creation, receipt, and transmission.	<input type="checkbox"/>	<input type="checkbox"/>		
11. Records must have reliability and integrity: records must be maintained unaltered.	<input type="checkbox"/>	<input type="checkbox"/>		
12. Records must be useable, retrievable and accessible.	<input type="checkbox"/>	<input type="checkbox"/>		
13. Records must be complete, recording the content and contextual information necessary to document an activity.	<input type="checkbox"/>	<input type="checkbox"/>		
14. Records must be comprehensive and provide authoritative evidence of all business activities.	<input type="checkbox"/>	<input type="checkbox"/>		

PRINCIPLE/ REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
<p><b>Principle 4: Records Must be Managed Systematically</b></p> <p><i>Records must be managed systematically across both recordkeeping systems and business systems within an organisational recordkeeping framework.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>		
15. Records must be identified and captured within a recordkeeping framework.	<input type="checkbox"/>	<input type="checkbox"/>		
16. Records must be organised according to a business classification scheme.	<input type="checkbox"/>	<input type="checkbox"/>		
17. Records must be reliably maintained over time within a recordkeeping framework.	<input type="checkbox"/>	<input type="checkbox"/>		
18. Records must be useable, accessible and retrievable for the entire period of their retention.	<input type="checkbox"/>	<input type="checkbox"/>		
19. Records' contextual and structural integrity must be maintained over time.	<input type="checkbox"/>	<input type="checkbox"/>		
20. Retention and disposal actions must be applied systematically.				





Draft Chief Executive Performance Objectives

(Based on CE/ELT proposal including initial feedback from councillors)

Objective	Description	Measurement (work in progress)
1 Policy	<p>Complete the development of the policy suite*, bringing the community with us (the community understand rationale and priorities) and enhance Council ownership, e.g. Unitary Plan, by-law review, local area plans, Haureki Gulf Marine Spatial Plan.</p> <p>* those policies that will make the biggest difference and can be implemented through the LTP</p>	<ul style="list-style-type: none"> <li>• Deliver "[yet to be confirmed]" policy priorities</li> <li>• Community engagement measure, e.g., surveys re: Unitary Plan, priorities</li> <li>• Regular review and update of policies taking into account changes that result from the Transformation process.</li> <li>• Successful transfer of policies into the LTP</li> </ul>
2 Long Term Plan	<p>Develop a 2015-25 LTP that:</p> <ul style="list-style-type: none"> <li>• is 'owned' by elected members and all staff</li> <li>• includes new priorities clearly understood by the community</li> <li>• aligns to the Auckland Plan and reduces funding levels</li> <li>• can be implemented from 1 July 2015</li> </ul>	<ul style="list-style-type: none"> <li>• Delivered – timeframe and financial performance</li> <li>• Measure governance cohesiveness over the plan ('owner')                             <ul style="list-style-type: none"> <li>○ Ask independently for rating of process and outcomes. i.e. how well the community:                                     <ul style="list-style-type: none"> <li>▪ understands the priorities</li> <li>▪ trusts the financial parameters</li> <li>▪ perceives we are more efficient</li> </ul> </li> <li>○ Auckland Council family wide cohesiveness</li> </ul> </li> <li>• Ready to operationalize</li> </ul>

3 Role Clarity and Accountabilities	<p>Foster improved local outcomes by:</p> <ul style="list-style-type: none"> <li>• clarifying respective roles across the council family (regional, local and organisational)</li> <li>• developing programmes and processes that align to those roles, e.g. community-led placemaking</li> <li>• promoting new local funding</li> </ul>	<ul style="list-style-type: none"> <li>• Local Boards                             <ul style="list-style-type: none"> <li>○ Improved satisfaction measures</li> <li>○ aspirational plans that are real</li> <li>○ test family wide view</li> <li>○ increased participation in next local elections to measure engagement</li> <li>○ stakeholder perception survey trending up</li> </ul> </li> </ul>
4 One Organisation	<p>Create a council family group approach that reflects one organisation with different parts to play.</p>	<ul style="list-style-type: none"> <li>• Deliver better results more efficiently</li> <li>• Measure how we have improved efficiency and integration</li> <li>• CEO group that meets regularly, agrees actions and trusts their inputs are valued</li> <li>• CCOs understand interdependencies and manage accordingly</li> <li>• CCO-AC project teams understand rationale for Council and CCO decisions</li> <li>• Public perception of cohesiveness and integration</li> <li>• Elected members/Boards perceptions</li> <li>• IMSB and Advisory Boards play, and feel that they are playing, an active and constructive role.</li> </ul>

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<p><b>5 High Performing Organisation</b></p>	<p>Create a high performing organisation through:</p> <ul style="list-style-type: none"> <li>• high engagement and high trust and focus on continuous improvement</li> <li>• productivity improvements</li> <li>• systems and business processes that place the citizen, customer, ratepayer, stakeholder at the centre</li> </ul>	<ul style="list-style-type: none"> <li>• Engagement and culture surveys</li> <li>• Balanced scorecard</li> <li>• Engagement 'maturity' model</li> <li>• Employer of choice</li> </ul>
<p><b>6 Improved Governance</b></p>	<p>Provide high quality advice to help elected members:</p> <ul style="list-style-type: none"> <li>• make better decisions</li> <li>• operate more effectively</li> <li>• understand respective roles (regional, local, organisational)</li> </ul>	<ul style="list-style-type: none"> <li>• Elected member feedback</li> <li>• Trust our advice</li> <li>• Quality of chairmanships</li> <li>• Greater clarity around expectations</li> <li>• Stakeholder perception survey</li> <li>• Less time spent in meetings</li> </ul>

Attachment A

Draft Chief Executive Performance Objectives

(Based on further feedback from councillors between 8 and 10 April 2014)

Objective	Description	Measurement (work in progress)
1 Long Term Plan	<p>Develop the 2015-25 LTP :</p> <ul style="list-style-type: none"> <li>• Through a process of reprioritisation</li> <li>• With new priorities clearly understood by the elected members and community</li> <li>• Aligning to the Auckland Plan and broadening the alternative funding base</li> <li>• Including the development of the necessary policy</li> <li>• Ready to implement from 1 July 2015</li> </ul>	<ul style="list-style-type: none"> <li>• rates increase under 2.5 percent</li> <li>• public transport patronage increased by xx</li> <li>• required infrastructure can be funded and delivered within the LTP</li> <li>• Opex, capex and appropriate financial ratios are achieved</li> </ul>

2 One Organisation	Lead the council family as one organisation.	<ul style="list-style-type: none"> <li>• Measure of how we have improved efficiency and integration</li> <li>• CEO group that meets regularly, agrees actions and delivers agreed joint outcomes</li> <li>• CCO review delivers tangible improvements</li> <li>• CCO-AC project teams understand rationale for Council and CCO decisions</li> <li>• Public perception of cohesiveness and integration</li> <li>• Elected members/CCO Boards perceptions (CCO Boards to be confirmed)</li> <li>• IMSB and Advisory Boards play, and feel that they are playing, an active and constructive role</li> <li>• CCO SCIs reflect a "One organisation" philosophy.</li> </ul>
3 High Performing Organisation	<p>Create a high performing organisation through:</p> <ul style="list-style-type: none"> <li>• high engagement and high trust and focus on continuous improvement</li> <li>• productivity improvements</li> <li>• systems and business processes that place the citizen, customer, ratepayer, stakeholder at the centre</li> <li>• high Māori responsiveness and achieving Māori outcomes</li> </ul>	<ul style="list-style-type: none"> <li>• Engagement and culture surveys</li> <li>• Balance scorecard</li> <li>• Engagement 'maturity' model</li> <li>• Employer of choice</li> <li>• Maori responsiveness framework targets achieved</li> </ul>

<p>4 Effective Governance</p>	<p>Foster improved local outcomes by:</p> <ul style="list-style-type: none"><li>• clarifying respective roles of governing body, local boards, CCOs and core council across the council family</li><li>• developing programmes and processes that align to those roles, e.g. community-led placemaking</li><li>• Provide high quality advice to help elected members make better decisions and operate more effectively</li><li>• Develop new innovative ways of working between elected members and the different part of the organisation</li></ul>	<ul style="list-style-type: none"><li>• Improved elected members satisfaction measures</li><li>• Quality of chairmanships</li><li>• Stakeholder perception survey</li><li>• More productive and effective political meetings</li><li>• Improved rating of quality of policy advice in yearly NZIER review of the Council's policy papers</li></ul>
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